

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s) : Robert A. Levine et al.  
Serial No. : 10/519,585  
Filed : January 9, 2006  
Entitled : SYSTEMS FOR AND METHODS OF ATRIOVENTRICULAR VALVE REGURGITATION AND REVERSING VENTRICULAR REMODELING  
Group Art Unit : 3738  
Examiner : To be determined  
Confirmation No. : 9567

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicants bring to the attention of the Examiner the documents listed on the attached Form PTO 1449, and respectfully request that the listed documents be considered by the Examiner and made of record in the above-captioned application. Copies of the United States patent references listed on the Form PTO-1449 are not enclosed, but the PCT, foreign and non-patent references are enclosed.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that the listed documents are material or constitute “prior art.” If the Examiner applies the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute “prior art” under

United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should the documents be applied against the claims of the present application.

This submission is being filed before any action by the U.S. Patent and Trademark Office on the merits. Therefore, applicants do not believe that any fee is due in connection with the submission of this paper. However, if any fee is due, or if any overpayment has been made, the Commissioner is authorized to charge any such fee or credit any overpayment, to our Deposit Account No. 50-2054.

Respectfully submitted,

**DORSEY & WHITNEY, LLP**

December 29, 2006



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4820-9571-6352\1

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT  
(Use several sheets if necessary)**

Atty. Docket No.  
186291/US/3 – 475387-  
00108

Serial No.  
10/519,585

Applicant(s)  
Robert A. Levine

Filing Date  
December 27, 2004

Group  
3738

**U.S. PATENT DOCUMENTS**

*Exam. Init.		Document No.							Date	Name	Class	Subclass	Filing Date if Appropriate
		6	3	1	2	4	4	7	November 2001	Grimes **			
		6	4	6	1	3	6	6	October 2002	Seguin **			
		6	6	2	6	9	3	0	September 2003	Allen et al. **			
		6	6	9	5	8	6	6	February 2004	Kuehn et al. **			
		6	7	5	2	8	1	3	June 2004	Goldfarb et al. **			
		6	1	2	9	7	5	8	October 2000	Love			
		6	1	6	5	1	8	3	December 2000	Kuehn et al.			
		6	2	6	9	8	1	9	August 2001	Oz et al.			
		6	3	1	2	4	4	7	November 2001	Grimes			
2002	0	1	6	1	3	7	8		October 2002	Dowing			
		6	5	7	5	9	7	1	June 2003	Hauck et al.			
2002	0	2	9	0	0	6	0		March 7 2002	Hogendijk***			
2003	0	1	2	0	3	4	1		June 2003	Shennib et al. ****			
2002	0	0	1	3	5	7	1		January 2002	Goldfarb et al. ****			
		6	6	2	9	5	3	4	October 2003	St. Goar et al. ****			
		6	3	5	5	0	3	0	March 2002	Aldrich ****			
		6	4	0	2	6	7	9	June 2002	Mortier et al. *****			
		6	5	4	0	6	6	6	April 2003	Chekanov *****			
		6	4	3	2	0	3	9	August 2002	Wardle *****			

\*\* References cited in Office Action for US. Patent Application No. 10/640,974

\*\*\* References cited in European Search Report for European Patent Application No. EP 03 76 7158

\*\*\*\* References cited in International Search Report for International Application No. PCT/US03/24367

\*\*\*\*\*References cited in International Search Report for International Application No. PCT/US03/20450

**FOREIGN PATENT DOCUMENT**

		Document No.							Date	Country	Class	SubClass	Translator Yes No
		9	9	1	3	7	7	7	March 1999	WIPO			

Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.L./**

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

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		9	6	3	5	4	6	9	November 1996	WIPO***				
		0	0	6	0	9	9	5	October 2000	WIPO***				
200	4	0	1	2	5	8	3	February 2004	WIPO					
200	4	0	1	4	2	8	2	February 2004	WIPO					

**OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)**

Copy of International Search Report for International application No. PCT/US03/24367

Copy of European Search Report for European Patent Application No. EP 03 76 7158

No Dates Listed

Copy of Office Action for US. Patent Application No. 10/640,974

Copy of International Search Report for International Application No. PCT/US03/20450

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Examiner /John Lacyk/ Date Considered 03/25/2010

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.L./